

GROWTH & SECURITIES LTD.

BSE • NSE • EQUITY & DERIVATIVES

1

1. 10

Enhancing Fortunes. Enriching Lives. CURRENCY DERIVATIVES • DP-CDSL



Date: 31st August 2019.

National Stock Exchange of India Ltd, BSE Ltd,

Exchange Plaza, 5th Floor, Plot No. C/1, G Block, BandraKurla Complex, Bandra (East), Mumbai – 400 051 Department of Corporate Services P. J. Towers, Dalal Street, Mumbai - 400 001 MSEI Exchange Ltd., 4th Floor, Vibgyor Towers, Plot No C-62, G Block, BKC, Sandra (East) Mumbai -400051

Scrip Name: Inventure

Scrip Code: 533506

Scrip Name: Inventure

Ref: - Inventure Growth & Securities limited

Sub: Disclosure under Regulation 30 Schedule III of SEBI (listing Obligations and Disclosure Requirements) 2015

Dear Sir,

Pursuant to the requirements of Regulation 30 Schedule III of SEBI (listing Obligations and Disclosure Requirements),2015, The Company has received final Order issued by Adjudication Officer from SEBI against the Adjudication Notice dated 30th October 2017. In the impugned order, SEBI has levied Penalty as follows:

SI. No	Name of the Noticee	Penalty amount in ` and words	Violation of the provisions of	Penal provisions under SEBI Act
1	Inventure Growth & Securities Ltd.,	50,00,000/- (Rupees Fifty Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations	Section 15HA
		25,00,000/- (Rupees Twenty Five Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.	Section 15HB
2	Nagji Keshavji Rita	10,00,000/- (Rupees Ten Lakhs	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations	Section 15HA

SEBI Reg. No. : BSE CASH: INB010901730 BSE F&O : INF010901730 BSE CDS INE010901730 BSE Cisating No. : 275 NSE CASH: INB230901739 NSE F&O: INF230901739 NSE CDS: INE230901739 NSE Clearing No. : 09017 MSEI CASH: INB260901732 MSEI F&O: INF260901732 MSEI CDS : INE260901739 MSEI Clearing No : 1032 CDSL DP ID : IN-DP-CDSL-12-99 CIN No.: L65990MH1995PLC089838 Corporate & Reg. Office: 201, Viraj Towers, 2rd Floor, Near Land Mark, Western Express Highway, Andheri (East), Mumbai - 400 093.

Tel.: + 091-022-71148500,40751515 Fax : + 091-022-71148511 Website : www.inventuregrowth.com E-mail : investorgrievancies@inventuregrowth.com

		only)	3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations		
		5,00,000/- (Rupees Five Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.	Section 15HB	1
3	Virendra Dudhnath Singh	10,00,000/- (Rupees Ten Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations	Section 15HA	
		5,00,000/- (Rupees Five Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.	Section 15HB	a an a
4	Kanji Bhachubhai Rita	10,00,000/- (Rupees Ten Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations	Section 15HA	
		5,00,000/- (Rupees Five Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.	Section 15HB	
5	Vinod Kanji Shah	10,00,000/- (Rupees Ten Lakhs	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations	Section 15HA	



11-1		only)	3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP)		
		5,00,000/-	Regulations Regulations 57 (1) and 57	Section 15HB	
		(Rupees Five Lakhs only)	(2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of	5000013115	
			the SEBI (ICDR) Regulations.		14 (1997) - 1997
6	Pravin Nanji Gala	10,00,000/- (Rupees Ten Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations	Section 15HA	8
		5,00,000/- (Rupees Five Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.	Section 15HB	
7	Arun Narayan Joshi	3,00,000/- (Rupees Three Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations	Section 15HA	
		2,00,000/- (Rupees Two Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of	Section 15HB	
			schedule VIII and 60 (4) of the SEBI (ICDR) Regulations		
8	Jambunathan Srinivasaiyer	3,00,000/- (Rupees Three Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f),	Section 15HA	5



			(k) and (r) of the SEBI (PFUTP) Regulations		
		2,00,000/- (Rupees Two Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations	Section 15HB	
9	Harshavardhan M Gajbhiye	3,00,000/- (Rupees Three Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f),	Section 15HA	
			(k) and (r) of the SEBI (PFUTP) Regulations		
		2,00,000/- (Rupees Two Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G)	Section 15HB	
		Unity	and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations		4
10	Ajay Khera	3,00,000/- (Rupees Three Lakhs	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations	Section 15HA	
		only)	3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations		1941100
		2,00,000/- (Rupees Two Lakhs only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G)	Section 15HB	
			and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations		
11	Deepak M Vaishnav	3,00,000/- (Rupees Three Lakhs	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations	Section 15HA	- <u>1</u>
		only)	3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations		





12	Arvind Jethlal Gala	2,00,000/- (Rupees Two Lakhs only) 2,00,000/- (Rupees Two Lakhs	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations	Section 15HB Section 15HA	
		only)	3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations		
		1,00,000/- (Rupees One Lakh only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.	Section 15HB	
13	Bhavi Rahul Gandhi	2,00,000/- (Rupees Two Lakhs only)	Section 12 A (a), (b), (c) of SEBI Act,1992 and Regulations 3 (b), (c), (d), 4(1), 4(2)(f), (k) and (r) of the SEBI (PFUTP) Regulations	Section 15HA	
		1,00,000/- (Rupees One Lakh only)	Regulations 57 (1) and 57 (2) (a) read with Clause 2 (VII) (G) and (XVI) (B) (2) of part A of	Section 15HB	
			schedule VIII and 60 (4) of the SEBI (ICDR) Regulations.		

You are requested to take the same on your records & oblige.

For Inventure Growth & Securities Ltd

< gen Bhavi R. Gandhi (Company Secretary)

